



Docket No. CF/030

2161  
#15  
BT  
5-15-03

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Howard W. Lutnick et al.  
Application No.: 10/015,738 Confirmation No.: 3474  
Filed : December 12, 2001  
For : METHODS AND SYSTEMS FOR TRADING OF  
FUTURES CONTRACTS FOR INTANGIBLE  
ASSETS  
Group Art Unit : 2161  
Examiner : Not Yet Assigned

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**GROUP 3600**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

New York, NY 10020  
April 24, 2003

TRANSMITTAL LETTER FOR  
INFORMATION DISCLOSURE STATEMENT

Sir:

Transmitted herewith is an Information  
Disclosure Statement in the above-identified application.  
This Statement is submitted:

- ☐ within three months of the application filing date;
- ☒ more than three months from the application filing date but before the mailing date of the first Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of this Statement requires no fee. However, if for any reason a fee is due, the Director is hereby authorized to charge payment of any fees required in connection with this Information Disclosure Statement to Deposit Account

No. 06-1075. A duplicate copy of this letter is  
transmitted herewith.

Respectfully submitted,

Denise Bergin  
Denise Bergin  
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Attorney for Applicant  
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Claire J. Santil-van Goodman  
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Signature of Person Signing



PATENTS  
Attorney Docket No. CF/030

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicants : Howard W. Lutnick et al.  
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Hon. Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §§ 1.56 and 1.97, applicant hereby makes the following documents of record in the above-identified patent application:

U.S. Patent Documents

Keiser et al.	Pat. No. 5,950,176	September 7, 1999
Vinarsky	Pat. No. 6,390,472 B1	May 21, 2002
Keiser et al.	Pat. No. 6,505,174 B1	January 7, 2003

#### Other Documents

Kittlitz, K. et al., "A WWW Implementation of Idea Futures", at <http://www.ideosphere.com/fx/papers/extro2/extro2.html> (content dated June 1995, printed March 20, 2003)

Angrist, S. et al., "Iowa Market Takes Stock of Presidential Candidates", Wall Street Journal, at <http://www.biz.uiowa.edu/iem/wsaj/wsaj.html> (content dated August 28, 1995, printed March 20, 2003)

"Online 'stock exchange' lets you trade in Hollywood glitz", CNN, at <http://www.hsj.org/features/timeline/may2797.html> (content dated May 27, 1997, printed March 18, 2003)

Kittlitz, K. et al., "Experiences with the Foresight Exchange", Extropy Online at <http://www.yeti.com/articles/fx.htm> (content dated 1999, printed March 20, 2003)

Robinson, S. et al., "Play Money? Not to These News Investors", New York Times at <http://www.nytimes.com/2001/07/05/technology/05FRAN.html?searchpv=day05> (content dated July 5, 2001, printed March 20, 2003)

"USATODAY.com readers can make big predictions with NewsFutures", USATODAY.com at <http://us.newsfeatures.com/home/press/usatodayRelease.html> (content dated December 6, 2001, printed March 20, 2003)

Copies of the aforementioned references, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), are enclosed herewith. Applicants request that a copy of Form PTO-1449 (submitted in duplicate herewith), as considered and initialed by the Examiner, be returned with the next communication.

Consideration of the foregoing in relation to this patent application is respectfully requested.

Respectfully submitted,

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P.O. Box 1450  
Alexandria, VA 22313-1450 on

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Claire J. Saint-Denis Goodman

[Signature]  
Signature of Person Signing



FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEINFORMATION DISCLOSURE  
STATEMENT BY APPLICANTATTY. DOCKET NO.  
CF/030APPLICATION NO.  
10/015,738APPLICANTS  
Howard W. Lutnick et  
al.CONFIRMATION  
NO. 3474FILING DATE  
December 12, 2001GROUP ART UNIT  
2161

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5950176	9/7/1999	Keiser et al.	705	37	
	6390472 B1	5/21/2002	Vinarsky	273	278	2/2/2000
	6505174 B1	1/7/2003	Keiser et al.	705	37	11/28/1998

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	
	Kittlitz, K. et al., "A WWW Implementation of Idea Futures", <a href="http://www.ideosphere.com/fx/papers/extro2/extro2.html">http://www.ideosphere.com/fx/papers/extro2/extro2.html</a> (content dated June 1995, printed March 20, 2003)
	Angrist, S. et al., "Iowa Market Takes Stock of Presidential Candidates", Wall Street Journal at <a href="http://www.biz.uiowa.edu/iem/wsj/wsj.html">http://www.biz.uiowa.edu/iem/wsj/wsj.html</a> (content dated August 28, 1995, printed March 20, 2003)
	"Online 'stock exchange' lets you trade in Hollywood glitz", CNN, at <a href="http://www.hsj.org/features/timeline/may2797.html">http://www.hsj.org/features/timeline/may2797.html</a> (content dated May 27, 1997, printed March 18, 2003)
	Kittlitz, K. et al., "Experiences with the Foresight Exchange", Extropy Online at <a href="http://www.yeti.com/articles/fx.htm">http://www.yeti.com/articles/fx.htm</a> (content dated 1999, printed March 20, 2003)
	Robinson, S. et al., "Play Money? Not to These News Investors", New York Times at <a href="http://www.nytimes.com/2001/07/05/technology/05FRAN.html?searchpv=day05">http://www.nytimes.com/2001/07/05/technology/05FRAN.html?searchpv=day05</a> (content dated July 5, 2001, printed March 20, 2003)
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EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.